

What Is A Review?

Reviews are established checkpoints that are to be passed during the CMS IT Investment Management Process.

There are two main categories of reviews: Investment Management Level Reviews and Project Management Level Reviews.

An **Investment Management Level Review** is a decision point during the system life cycle which is mandatory or conditionally mandatory for all IT projects (with limited exceptions), that produces a Go/No Go decision, and as a result has the authority to stop the project in its lifecycle.

A **Project Management Level Review** is a decision point during the system life cycle which is of lower consequence than an Investment Management Level Review, and therefore does not have the authority to stop the project in its lifecycle. There are two types, or levels, of Project Management Level Reviews: Formal and Informal.

A **Formal Project Management Level Review** is a review for which an identified group(s) require(s) participation/oversight and produces an acceptance or non-acceptance decision from the group(s).

An **Informal Project Management Level Review** is a review that is strongly encouraged to be performed by the Project Owner/Manager and/or Government Task Leader (GTL) with the Contractor and/or Integrated Project Team (IPT) as a good project management principle. This may be a review that is a predecessor for a Formal Project Management Level Review or an Investment Management Level Review.

The following is a list of the CMS **Investment Management Level Reviews**, presented as links to more detailed information regarding the identified reviews. The information available in the Roadmap for each review consists of a Summary Description and Status for the review, and the identified Lifecycle Phase during which the review occurs. In addition, each review has an identified Primary Oversight Group responsible for ensuring that the review is appropriately performed, as well as identified Stakeholders/Participants in Review. Each review also has identified Inputs to the review, identified Outputs obtained from the review, and an identified Predecessor Review.

[FMIB Review to Approve Seed Money for BCA](#)
[Review of BCA SOW/393](#)
[Review of Business Case Analysis \(BCA\)](#)
[FMIB Briefing & Review to Approve Funding to Proceed](#)
[Initial Department/OMB Clearance](#)
[Annual Department/OMB Clearance](#)
[Review of SDLC SOW/393](#)
[Proposal Review & Award](#)
[Review of Data Use Agreement \(DUA\)](#)
[CIO Initial IT Architecture Review & Certification](#)
[FMIB Funding Approval for the Development & Testing Phases](#)
[Review of System of Records \(SOR\)](#)

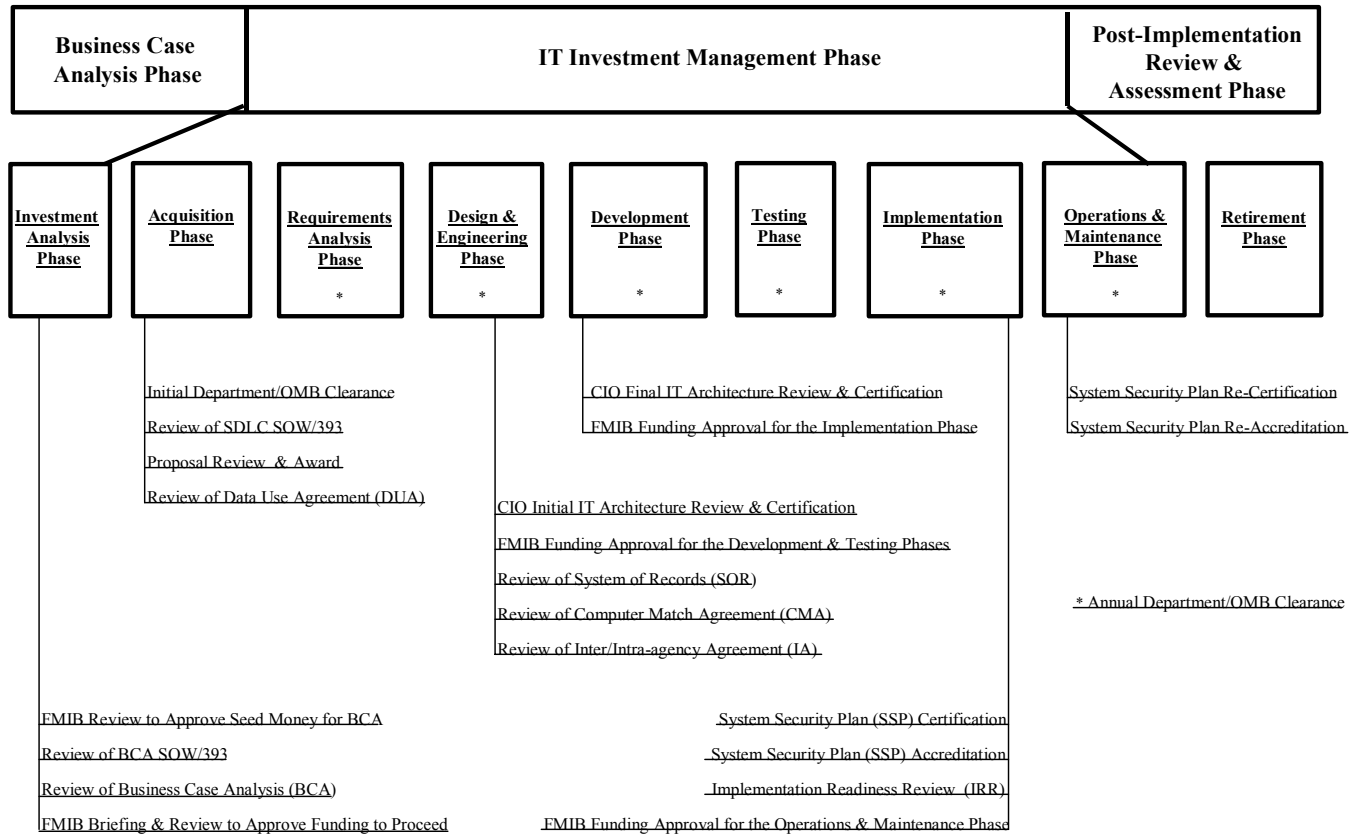
[Review of Computer Match Agreement \(CMA\)](#)
[Review of Inter/Intra-agency Agreement \(IA\)](#)
[CIO Final IT Architecture Review & Certification](#)
[FMIB Funding Approval for the Implementation Phase](#)
[System Security Plan \(SSP\) Certification](#)
[System Security Plan \(SSP\) Accreditation](#)
[Implementation Readiness Review \(IRR\)](#)
[FMIB Funding Approval for the Operations & Maintenance Phase](#)
[System Security Plan \(SSP\) Re-Certification](#)
[System Security Plan \(SSP\) Re-Accreditation](#)

The CMS **Project Management Level Reviews** are still in the process of being identified. The following is a list of the Project Management Level Reviews that have been identified thus far, presented as links to more detailed information regarding the identified reviews.

[PRCP Review for Ongoing Project Implementation Support](#)

CMS Integrated IT Investment Management Roadmap

Mandatory or Conditionally Mandatory Decision Checkpoints (Reviews)



FMIB Review to Approve Seed Money for BCA

Summary Description:

The Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Analysis and Budget (DIAB) reviews the IT Fact Sheet, prepared by the Project Owner/Manager in conjunction with the Sponsoring Component, for possible duplicity or overlap of the proposed project with other CMS projects. The Financial Management Investment Board (FMIB) subsequently reviews the proposed project to determine whether or not to provide seed money for the development of a Business Case Analysis (BCA). All new IT projects (Levels B, C, and D) must complete a Business Case Analysis to support the FMIB/Executive Council (EC) investment funding decision. For Level B (small, single year) projects, the Business Case Analysis will likely have been completed at the time that funding is initially requested for the project. However, for Level C and D projects, funding will normally be requested to secure the services of a contractor to assist in conducting the Business Case Analysis. The purpose of developing a BCA is to enable the FMIB to subsequently make an informed decision regarding further funding of the project based on the scope, alternatives considered, estimated costs, anticipated return on investment, projected lifecycle schedule, identified risks, acquisition strategy, and technical strategy planned for the project.

Status:

Mandatory - Investment Management Level Review - All new IT projects (Levels B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the beginning of the Investment Analysis Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Financial Management Investment Board (FMIB)
Sponsoring Component
Project Owner/Manager
OIS/PMSG/DIAB

Inputs:

IT Fact Sheet

Outputs:

If approved by the FMIB, then the project is added to the CMS Operating Plan. Email notification is sent from OIS/PMSG/DIAB to the Sponsoring Component regarding funding approval/non-approval.

Predecessor Review:

None

Review of BCA SOW/393

Summary Description:

The Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Analysis and Budget (DIAB) reviews the Business Case Analysis (BCA) Statement of Work (SOW) to ensure all required sections of the BCA deliverable, as presented in the BCA SOW Template, are appropriately included. OIS/PMSG/DIAB also reviews the associated HHS-393 Form for signature approval before forwarding the package to the Office of Financial Management (OFM) for approval to release the funds. The package is then forwarded to the Office of Internal Customer Support (OICS) / Acquisition and Grants Group (AGG) for processing action.

Status:

Conditionally Mandatory - Investment Management Level Review - All new IT projects (Levels B, C, and D) that will utilize a contractor to develop the Business Case Analysis (BCA) must pass this decision checkpoint before proceeding forward in the system life cycle. The CIO Planning, Management, and Support Group (PMSG) of the Office of Information Services (OIS) has awarded a task-order contract to provide ongoing assistance to Project Owners/Managers in developing the BCA. PMSG strongly encourages the use of this contractor since it will provide expertise and objectivity in preparing the BCA. This BCA contractor, however, is ineligible to perform the actual systems development support work for the project in the later IT Investment Management Phase.

Lifecycle Phase:

This Investment Management Level Review is performed during the Investment Analysis Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that the review of the BCA SOW and the associated HHS-393 Form is appropriately performed.

Stakeholders/Participants in Review:

Project Owner/Manager
OIS/PMSG/DIAB
Office of Financial Management (OFM)
OICS/AGG

Inputs:

Business Case Analysis (BCA) Statement of Work (SOW) / HHS-393 Form

Outputs:

Approved BCA SOW/393 ready for processing by OICS/AGG.

Predecessor Review:

FMIB Review to Approve Seed Money for BCA

Review of Business Case Analysis (BCA)

Summary Description:

The Business Case Analysis (BCA) is reviewed by several CMS entities, each for a different aspect of compliance. The Project Owner/Manager and the Business Owners/Partners (or the BCA Support Team, if one exists) focus their review on the first five sections of the BCA document and the requirements appendix to confirm that the key business needs and alignment with CMS's strategic business goals, the assumptions and constraints, the current state assessment, the future state assessment, the gap analysis, and the stated requirements are all accurately depicted and complete. The Project Owner/Manager then submits an electronic copy (and/or five hardcopies) of the validated BCA to the Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Analysis and Budget (DIAB) for subsequent distribution to and review by other key CMS entities. OIS/PMSG/DIAB reviews the document and its approach to ensure that they are sound, complete and in accordance with the original Statement of Work (SOW). OIS/PMSG/DIAB also concentrates on evaluating the cost/benefit analysis, risk analysis, acquisition approach, and project lifecycle schedule documented in the BCA. In addition, OIS/PMSG/DIAB reviews the documented requirements to verify compliance with CMS standards for requirements writing and document organization. The Chief Information Officer's (CIO's) Technical Advisory Board (CTAB) reviews the analysis of alternatives, high-level logical architecture design, conformance of design with IT architecture, risk analysis, and project lifecycle schedule documented in the BCA to ensure that the proposed high-level design is consistent with the direction of the CMS Information Technology Architecture (ITA), and to evaluate the technical risks and schedule for the project. The Division of Architecture and Strategic Planning (DASP) of OIS/PMSG also independently reviews the business model(s) contained in the BCA. Unlike the other entities, the Project Review & Coordination Panel (PRCP) does not review the BCA for compliance, but rather for the sole purpose of uncovering any potential duplicity between the project being considered and any other CMS investments.

Status:

Mandatory - Investment Management Level Review - All new IT projects (Levels B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Investment Analysis Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Project Owner/Manager
Business Owners/Partners or BCA Support Team, if one exists
OIS/PMSG/DIAB

CIO's Technical Advisory Board (CTAB)
OIS/PMSG/DASP
Project Review & Coordination Panel (PRCP)

Inputs:

Business Case Analysis (BCA)

Outputs:

Email notification is sent from OIS/PMSG/DIAB to the Project Owner/Manager regarding final acceptance or non-acceptance of the BCA. Upon acceptance, the BCA may be presented to the Financial Management Investment Board (FMIB) for the subsequent FMIB Briefing & Review to Approve Funding to Proceed.

Predecessor Review:

Review of BCA SOW/393, if a contractor is utilized to develop the BCA, OR
FMIB Review to Approve Seed Money for BCA, if the BCA is developed in-house with no contractor support.

FMIB Briefing & Review to Approve Funding to Proceed

Summary Description:

Once the Business Case Analysis (BCA) has been reviewed and accepted, the results must be presented to the Financial Management Investment Board (FMIB) for consideration and an investment decision. The FMIB representative of the Sponsoring Component of the project will be expected to present the project to the FMIB. The FMIB will then render a decision of approval or non-approval of funding for the project to begin the formal phases of the System Development Life Cycle (SDLC).

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This is the last Investment Management Level Review that is performed during the Investment Analysis Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Financial Management Investment Board (FMIB)
Sponsoring Component
Project Owner/Manager
OIS/PMSG/DIAB

Inputs:

Approved Business Case Analysis (BCA)

Outputs:

Email notification is sent from OIS/PMSG/DIAB to the Sponsoring Component regarding funding approval/non-approval. If approved by the FMIB, then funds are made available to the project for subsequent HHS-393s.

Predecessor Review:

Review of Business Case Analysis (BCA)

Initial Department / OMB Clearance

Summary Description:

For Level D IT projects that are approved by the Financial Management Investment Board (FMIB), the Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Analysis and Budget (DIAB) must prepare an Exhibit 300 to submit to the Department of Health and Human Services (DHHS) and then on to the Office of Management and Budget (OMB) for their consideration. The initial Exhibit 300 is based on the results of the Business Case Analysis (BCA).

Status:

Conditionally Mandatory - Investment Management Level Review - All Level D IT projects must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Acquisition Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Department of Health and Human Services (DHHS)
Office of Management & Budget (OMB)

Inputs:

Business Case Analysis (BCA)
Exhibit 300

Outputs:

Continue project unless otherwise notified.

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed

Annual Department / OMB Clearance

Summary Description:

For Level D IT projects, once CMS decides to go forward with a major investment, the Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Analysis and Budget (DIAB) must update the Exhibit 300 annually to address progress and variances in performance, schedule, and budget. The updated Exhibit 300 is submitted to the Department of Health and Human Services (DHHS) and then on to the Office of Management and Budget (OMB) for their consideration.

Status:

Conditionally Mandatory - Investment Management Level Review - All Level D IT projects must pass this decision checkpoint on an annual basis.

Lifecycle Phase:

This Investment Management Level Review is performed on an annual basis regardless of what lifecycle phase the project is in at the time.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Department of Health and Human Services (DHHS)
Office of Management & Budget (OMB)

Inputs:

Exhibit 300

Outputs:

Continue project unless otherwise notified.

Predecessor Review:

Initial Department/OMB Clearance

Review of SDLC SOW/393

Summary Description:

The Integrated Project Team (IPT), if one exists, reviews the System Development Life Cycle (SDLC) Statement of Work (SOW) to ensure all required sections, as presented in the SDLC SOW Template, are included as appropriate and the project-specific content of the SOW is complete and accurate. The Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) reviews the HHS-393, with the SDLC SOW attached, for signature approval before forwarding the package to the Office of Financial Management (OFM) for approval to release the funds. The package is then forwarded to the Office of Internal Customer Support (OICS) / Acquisition and Grants Group (AGG) for processing action.

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels B, C and D) that intend to acquire contractor support for the System Development Life Cycle (SDLC) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Acquisition Phase.

Primary Oversight Group:

Project Coordinator, if one exists, or the Project Owner/Manager in conjunction with OIS/PMSG/DIS has primary responsibility for ensuring that the review of the SDLC SOW is appropriately performed.

OIS/PMSG/DIAB has primary responsibility for ensuring that the review of the SDLC HHS-393 is appropriately performed.

Stakeholders/Participants in Review:

Project Owner/Manager
Integrated Project Team (IPT), if one exists, or Business Owners/Partners and OIS groups as appropriate
OIS/PMSG/DIS
OIS/PMSG/DIAB
Office of Financial Management (OFM)
OICS/AGG

Inputs:

System Development Life Cycle (SDLC) Statement of Work (SOW) / HHS-393 Form

Outputs:

Approved SDLC SOW/393 ready for processing by OICS/AGG.

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed

Proposal Review & Award

Summary Description:

The Evaluation Panel reviews all of the contractor proposals submitted in response to the Request for Proposal (RFP) that is based on the approved System Development Life Cycle (SDLC) Statement of Work (SOW). The Evaluation Panel scores the proposals and determines the winning contractor. The contract (or multiple contracts) may then awarded by the Office of Internal Customer Support (OICS) / Acquisition and Grants Group (AGG).

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C, and D) that intend to acquire the services of a contractor for the performance of activities in one or more phases of the system development life cycle (SDLC) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Acquisition Phase.

Primary Oversight Group:

Project Owner/Manager, as a member of the Evaluation Panel, has primary responsibility for ensuring proposal evaluation is conducted appropriately.

OIS/PMSG/DIS also has responsibility for ensuring proposal evaluation is conducted appropriately for those contracts which OIS/PMSG/DIS has Project Officer responsibility.

OICS/AGG has primary responsibility for ensuring the procurement is appropriately awarded.

Stakeholders/Participants in Review:

Project Owner/Manager

Evaluation Panel

OIS/PMSG/DIS

OICS/AGG

Inputs:

System Development Life Cycle (SDLC) Statement of Work (SOW) / HHS-393 Form Contractor Proposal(s)

Outputs:

Signed Contract Award

Predecessor Review:

Review of SDLC SOW/393

Review of Data Use Agreement (DUA)

Summary Description:

This is the formal process for review and signature approval of a Data Use Agreement (DUA) that has been prepared by a Project Owner/Manager for a CMS contractor(s) who will require access to personal identifiable information covered by the Privacy Act of 1974 for the purposes of developing a system. The Office of Information Services (OIS) / Enterprise Databases Group (EDG) / Division of Data Liaison and Distribution (DDLDD) has the functional responsibility to control guidelines and policies for the language in the DUA and coordinates the requests for release of the data. Before a DUA can be authorized, a System of Records (SOR) that allows for the disclosure of the data that will be used by the contractor must have already been established and published in the *Federal Register*.

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels B, C, and D) that will utilize a contractor(s) who require access to personal identifiable information for the purposes of developing a system, must pass this decision checkpoint before proceeding forward in the system life cycle. Before a DUA can be authorized, a System of Records (SOR) that allows for the disclosure of the data that will be used by the contractor must have already been established and published in the *Federal Register*.

Lifecycle Phase:

This Investment Management Level Review is performed during the Acquisition Phase.

Primary Oversight Group:

OIS/EDG/DDLD has primary responsibility for ensuring that this review is appropriately performed.

Project Owner/Manager has primary responsibility for securing signature approval of a Data Use Agreement (DUA) from the contractor(s) who will require access to personal identifiable information for the purposes of developing a system.

System Owner/Manager has primary responsibility for ensuring that a corresponding System of Records (SOR) has been established and published in the *Federal Register*.

Stakeholders/Participants in Review:

OIS/EDG/DDLD
Project Owner/Manager
System Owner/Manager
Contractor(s)

Inputs:

Data Use Agreement (DUA)

Outputs:

Signed Data Use Agreement (DUA).

Predecessor Review:

Proposal Review & Award

CIO Initial IT Architecture Review & Certification

Summary Description:

The Chief Information Officer's (CIO's) Technical Advisory Board (CTAB) certifies that a project's design meets the standards and guidelines established in CMS's IT Architecture (ITA). Those investments that are certified are eligible to move to the Development Phase. For those investments that are non-compliant with CMS's ITA, any further work is halted until the design is modified to meet the standards. Disagreements may be appealed to the CIO for final judgement.

Status:

Mandatory - Investment Management Level Review - All funded IT investments (Level C and D projects) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Design & Engineering Phase.

Primary Oversight Group:

CIO's Technical Advisory Board (CTAB) has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

CIO's Technical Advisory Board (CTAB)
Integrated Project Team (IPT), if one exists
Project Owner/Manager
Chief Information Officer (CIO)

Inputs:

- ❑ ITA Conformance Certification Checklist
- ❑ Approved Business Case Analysis (BCA)
- ❑ Any modifications made to the original set of requirements that were documented in the approved BCA
- ❑ Documentation from systems requirements analysis that demonstrates the proposed systems architectural design is testable, operable, and maintainable
- ❑ Systems architectural design model (i.e., identified hardware platform, operating system, licensing requirements and any areas where change in requirements or the use of tools and products not identified as a CMS standard has occurred)
- ❑ Software architectural design (i.e., documented historical account of selection process, advantages of preferred software architecture, and diagram of preferred software architecture)
- ❑ Logical and physical database designs
- ❑ Description of how software requirements relate to preferred architecture

- ❑ Risk analysis and mitigation matrix (high, medium, low) at the system and security levels (physical and data concerns - confidentiality, integrity, availability), and how risks are mitigated by the preferred architecture
- ❑ Capacity planning estimates

Outputs:

Email notification regarding certification/non-certification sent from CTAB to the IPT Project Coordinator, if one exists, or to the Project Owner/Manager, if an IPT does not exist.

Predecessor Review:

Proposal Review & Award for funded projects being developed by a contractor, OR
FMIB Briefing & Review to Approve Funding to Proceed for funded projects being developed in-house without contractor resources.

FMIB Funding Approval for the Development & Testing Phases

Summary Description:

This review produces a go/no go decision by the Financial Management Investment Board (FMIB) that is predicated on the Chief Information Officer (CIO) certification of the initial system design. Until the initial design is certified, funds for any activities in the Development and Testing Phases cannot be used, and the Office of Information Services (OIS) will not process any HHS-393s related to further work in any subsequent lifecycle phase. Once the initial design is certified, funds can be released for allowing the Project Owner/Manager to proceed with development activities in subsequent phases.

Status:

Mandatory - Investment Management Level Review - All funded IT investments (Level C and D projects) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Design & Engineering Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Financial Management Investment Board (FMIB)
Integrated Project Team (IPT), if one exists
Project Owner/Manager
OIS/PMSG/DIAB

Inputs:

To Be Determined

Outputs:

Email notification is sent from OIS/PMSG/DIAB to the Project Owner/Manager notifying that funds are available to the project for subsequent HHS-393s.

Predecessor Review:

CIO Initial IT Architecture Review & Certification

Review of System of Records (SOR)

Summary Description:

The System of Records (SOR) package prepared by the System Owner/Manager and Business Owner(s)/ Partner(s) is processed through a formal review and clearance process, which includes sign off by the CMS Privacy Act Officer, Chief Information Officer (CIO), Beneficiary Confidentiality Board (BCB), Records Management Officer, Paperwork Reduction Act Staff, DHHS Office of General Council (OGC), DHHS Privacy Act Officer, and SOR systems security components. The final SOR package is assembled for signature by the CMS Administrator. The Narrative Statement is submitted to the Office of Management and Budget (OMB), and the Preamble and Statement of Record Notice is published in the *Federal Register* for public comment. As a result, the Project Owner/Manager should allow six months for the processing of the SOR package through the formal review and clearance process.

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels B, C and D) that will cause CMS or its agents to collect, maintain, use, or disclose information about a citizen of the United States (beneficiaries or individual health care providers), or transmit or maintain electronically any identifiable health information, must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review begins during the Design & Engineering Phase and must be completed by the end of the Implementation Phase.

Primary Oversight Group:

OIS/EDG/DDLD has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Project Coordinator, if one exists
Project Owner/Manager
Business Owner(s)/Partner(s)
System Owner/Manager
Privacy Officer
OIS/EDG/DDLD
Chief Information Officer (CIO)
Senior Information Systems Security Officer (ISSO)
CMS Paperwork Reduction Act Staff
CMS Records Management Officer
CMS Administrator
Beneficiary Confidentiality Board (BCB)

DHHS Office of General Council (OGC)
DHHS Assistant Secretary of Public Affairs
DHHS Privacy Act Officer
Office of Management & Budget (OMB)
Congress
Public

Inputs:

System of Records (SOR)

Outputs:

Signed System of Records (SOR)

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed

Review of Computer Match Agreement (CMA)

Summary Description:

The Computer Match Agreement (CMA) is reviewed/approved by internal CMS components (i.e., System Owner/Manager and CMS Security/Privacy/Data Center staff). After approval is received from the CMS Privacy Act Officer, the CMA is forwarded to the Beneficiary Confidentiality Board (BCB) staff electronically for the BCB staff to send to all BCB members for review. The BCB will determine concurrence/non-concurrence via an email "polling" process. After BCB approval is obtained, the CMA is forwarded to the Data Integrity Board (DIB) for approval. After DIB approval is obtained, the CMA is signed by CMS's Chief Information Officer (CIO) and is then forwarded to the CMS Administrator for approval to publish in the *Federal Register*.

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels B, C and D) that require a Computer Match Agreement (CMA) must pass this decision checkpoint before proceeding forward in the system life cycle. In conjunction with a CMA, an Inter/Intra-agency Agreement (IA) is also prepared and reviewed when any of the System of Records (SOR) involved in the comparison are the responsibility of another Federal agency.

Lifecycle Phase:

This Investment Management Level Review begins during the Design & Engineering Phase and must be completed by the end of the Implementation Phase.

Primary Oversight Group:

OIS/EDG/DDLD has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Project Coordinator, if one exists
Project Owner/Manager
System Owner/Manager
Privacy Officer
OIS/EDG/DDLD
OIS/SSG
CMS Data Center Staff
Beneficiary Confidentiality Board (BCB)
Data Integrity Board (DIB)
DHHS Office of General Council (OGC)
Chief Information Officer (CIO)
CMS Administrator
Public

Inputs:

Computer Match Agreement (CMA)

Outputs:

Signed Computer Match Agreement (CMA)

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed

Review of Inter/Intra-agency Agreement (IA)

Summary Description:

This is the formal process for review and clearance of an Inter/Intra-agency Agreement (IA) initiated by a Project Owner/Manager. The Office of Financial Management (OFM) will review the initial draft of the IA for funding and accounting information and the Office of Internal Customer Support (OICS) / Acquisition and Grants Group (AGG) will review for format and content. The Office of Information Services (OIS) will review the IA and determine the Information Technology (IT) clearances necessary based on the System Development Life Cycle (SDLC) Statement of Work (SOW). Depending on the SDLC SOW, OIS may initiate the final OIS/CMS clearance process based on the initial draft. The IA in either draft or final format will be distributed through the appropriate staff or clearance points. The clearance process can take from several weeks to six months or more depending on the comments received from the clearance points. Upon consideration and resolution of the comments and subsequent signoff by OIS, the IA is submitted to OFM for fund certification. After all CMS signatures are secured, the IA is then forwarded to the other Federal agency(s) for signature.

Status:

Conditionally Mandatory - Investment Management Level Review - All IT projects (Levels B, C and D) that require an Inter/Intra-agency Agreement (IA) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review begins during the Design & Engineering Phase and must be completed by the end of the Implementation Phase.

Primary Oversight Group:

Project Coordinator, if one exists, or the Project Owner/Manager in conjunction with OICS/AGG has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Project Owner/Manager
OIS IA Coordination Staff
Office of Financial Management (OFM)
OICS/AGG
OIS/EDG/DDLD

Inputs:

Inter/Intra-agency Agreement (IA)

Outputs:

Signed Inter/Intra-agency Agreement (IA)

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed

CIO Final IT Architecture Review & Certification

Summary Description:

The Chief Information Officer's (CIO's) Technical Advisory Board (CTAB) certifies that a project's design continues to meet the design that was presented and certified at the end of the Design and Engineering phase. This review ensures that the design continues to meet the standards and guidelines established in CMS's Information Technology Architecture (ITA). Those investments that are certified are eligible to move to the Testing phase. For those investments that are non-compliant with CMS's ITA, any further work is halted until the design is modified to meet the standards. Disagreements may be appealed to the CIO for final judgement.

Status:

Mandatory - Investment Management Level Review - All funded IT investments (Level C and D projects) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Development Phase.

Primary Oversight Group:

CIO's Technical Advisory Board (CTAB) has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

CIO's Technical Advisory Board (CTAB)
Integrated Project Team (IPT), if one exists
Project Owner/Manager
Chief Information Officer (CIO)

Inputs:

- ❑ Updated ITA Conformance Certification Checklist
- ❑ Approved system, software, and database designs from the CIO Initial IT Architecture Review & Certification
- ❑ Final systems, software, and database architectural design documents
- ❑ Waivers for any non-standard products and tools utilized by the project
- ❑ All previously identified issues resolved

Outputs:

Email notification regarding certification/non-certification sent from CTAB to the IPT Project Coordinator, if one exists, or to the Project Owner/Manager, if an IPT does not exist.

Predecessor Review:

FMIB Funding Approval for Development and Testing Phases

FMIB Funding Approval for the Implementation Phase

Summary Description:

This review produces a go/no go decision by the Financial Management Investment Board (FMIB) that is predicated on the Chief Information Officer (CIO) certification of the developed system design. Until the developed system design is certified, funds for any activities in the Implementation Phase cannot be used, and the Office of Information Services (OIS) will not process any HHS-393s related to further work in any subsequent lifecycle phase. Once the developed system design is certified, funds can be released for allowing the Project Owner/Manager to proceed with implementation activities in subsequent phases.

Status:

Mandatory - Investment Management Level Review - All funded IT investments (Level C and D projects) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Development Phase.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Financial Management Investment Board (FMIB)
Integrated Project Team (IPT), if one exists
Project Owner/Manager
OIS/PMSG/DIAB

Inputs:

To Be Determined

Outputs:

Email notification is sent from OIS/PMSG/DIAB to the Project Owner/Manager notifying that funds are available to the project for subsequent HHS-393s.

Predecessor Review:

CIO Final IT Architecture Review & Certification

System Security Plan (SSP) Certification

Summary Description:

System Security Plan (SSP) Certification is the formal approval of the SSP by the System Owner/Manager, the System Maintainer, and the Component Information Systems Security Officer (ISSO). The SSP Certification ensures that appropriate controls are implemented in the system and are adequate to meet CMS policy and relevant requirements based on documented results of design reviews and system tests.

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Implementation Phase.

Primary Oversight Group:

Project Coordinator, if one exists, or the Project Owner/Manager in conjunction with OIS/SSG has primary responsibility for ensuring that this review is appropriately performed in accordance with the CMS System Security Plan (SSP) Methodology, and that the SSP Certification Form for initial or interim certification is appropriately signed.

Stakeholders/Participants in Review:

Component Information Systems Security Officer (ISSO)

System Owner/Manager

System Maintainer

OIS/SSG

Project Coordinator, if one exists, or Project Owner/Manager

IV&V Contractor (stakeholder for designated General Support Systems (GSSs) and Major Applications (MAs))

Inputs:

System Security Plan (SSP)

Outputs:

Signed System Security Plan (SSP) Certification Form

Predecessor Review:

FMIB Funding Approval for the Implementation Phase

System Security Plan (SSP) Accreditation

Summary Description:

System Security Plan (SSP) Accreditation is the formal authorization and approval granted by the Chief Information Officer (CIO), or Senior Management Official Designee (currently the Senior Systems Security Advisor), for a Major Application (MA), General Support System (GSS), or "Other" System to process in the operational environment and to accept the risk associated with it. The CIO or Senior Systems Security Advisor, as the sole accrediting authority, determines the level of acceptable risk for CMS information resources. SSP Accreditation is based on the SSP Certification as well as other management considerations.

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Implementation Phase.

Primary Oversight Group:

OIS/SSG has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Chief Information Officer (CIO) or Senior Systems Security Advisor
Component Information System Security Officer (ISSO)
System Owner/Manager
System Maintainer

Inputs:

System Security Plan (SSP)
Signed System Security Plan (SSP) Certification Form

Outputs:

Signed System Security Plan (SSP) Accreditation Form

Predecessor Review:

System Security Plan (SSP) Certification

Implementation Readiness Review (IRR)

Summary Description:

An Implementation Readiness Review (IRR) will be conducted after validation testing and prior to release of the new or changed software into production. The purpose of the IRR is to ensure that all prerequisites leading up to production implementation have been met; this includes, but is not limited to, implementation planning including data conversion needs, if appropriate, Quality Assurance (QA) processes, security plans and environmental needs. Signatures indicating management concurrence from the responsible System Maintainer and Business Owners/Partners will attest that all requirements have been met and authorize the release to production use. The Division of Investment Support (DIS) of the CIO Planning, Management, and Support Group (PMSG) of the Office of Information Services (OIS) will conduct the IRR using a standard checklist.

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Implementation Phase.

Primary Oversight Group:

Project Coordinator, if one exists, or the Project Owner/Manager in conjunction with OIS/PMSG/DIS has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Business Owner(s) / Partner(s)
System Owner/Manager
System Maintainer
OIS/PMSG/DIS
OIS/SSG
OIS/EDG
OIS/TMG
OIS/PMSG/DASP
Project Owner/Manager
Integrated Project Team (IPT), if one exists

Inputs:

Implementation Readiness Review (IRR) Data Sheet

Outputs:

Signed Implementation Readiness Review (IRR) Data Sheet

Predecessor Review:

FMIB Funding Approval for the Implementation Phase (for funded projects; otherwise, None)

Funding Approval for the Operations & Maintenance Phase

Summary Description:

Based on performance data provided by the Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Tracking and Assessment (DITA), the Financial Management Investment Board (FMIB) allots funds to support annual operations and maintenance. If the performance assessment indicates that the performance is at an acceptable level, the Project Owner/Manager may continue to submit HHS-393s to use the available budget.

Status:

Mandatory - Investment Management Level Review - All funded IT investments (Level C and D projects) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed at the end of the Implementation Phase and is performed on an annual basis thereafter.

Primary Oversight Group:

OIS/PMSG/DIAB has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Financial Management Investment Board (FMIB)

Integrated Project Team (IPT), if one exists

Project Owner/Manager

OIS/PMSG/DIAB

OIS/PMSG/DITA

Inputs:

To Be Determined

Outputs:

Email notification is sent from OIS/PMSG/DIAB to the Project Owner/Manager notifying that funds are available to the project for subsequent HHS-393s.

Predecessor Review:

FMIB Funding Approval for the Implementation Phase

System Security Plan (SSP) Re-Certification

Summary Description:

System Security Plan (SSP) Re-Certification is the SSP Certification required when there is (1) Change in the system that affects security profile, (2) Changes in requirements resulting in the need to process data of a higher sensitivity or classify system at a higher sensitivity (e.g., changes in authorizing legislation), (3) Occurrence of a serious security violation, (4) Certification/Accreditation has elapsed, (5) Changes in the threat environment, or (6) Interim accreditation has expired. SSP Re-Certification is the formal approval of the SSP by the System Owner/Manager, the System Maintainer, and the Component Information Systems Security Officer (ISSO). The SSP Re-Certification ensures that appropriate controls are implemented in the system and are adequate to meet CMS policy and relevant requirements based on documented results of design reviews and system tests.

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Operations & Maintenance Phase.

Primary Oversight Group:

System Owner/Manager in conjunction with OIS/SSG has primary responsibility for ensuring that this review is appropriately performed in accordance with the CMS System Security Plan (SSP) Methodology, and that the SSP Certification Form for re-certification is appropriately signed.

Stakeholders/Participants in Review:

Component Information Systems Security Officer (ISSO)

System Owner/Manager

System Maintainer

OIS/SSG

IV&V Contractor (stakeholder for designated General Support Systems (GSSs) and Major Applications (MAs))

Inputs:

System Security Plan (SSP)

Outputs:

Signed System Security Plan (SSP) Certification Form

Predecessor Review:

FMIB Funding Approval for the Operations & Maintenance Phase

System Security Plan (SSP) Re-Accreditation

Summary Description:

System Security Plan (SSP) Re-Accreditation is the SSP Accreditation required when there is (1) Change in the system that affects security profile, (2) Changes in requirements resulting in the need to process data of a higher sensitivity or classify system at a higher sensitivity (e.g., changes in authorizing legislation), (3) Occurrence of a serious security violation, (4) Accreditation has elapsed, (5) Changes in the threat environment, or (6) Interim accreditation has expired. SSP Accreditation is the formal authorization and approval granted by the Chief Information Officer (CIO), or Senior Management Official Designee (currently the Senior Systems Security Advisor), for a Major Application (MA), General Support System (GSS), or "Other" System to process in the operational environment and to accept the risk associated with it. The CIO or Senior Systems Security Advisor, as the sole accrediting authority, determines the level of acceptable risk for CMS information resources. SSP Re-Accreditation is based on the SSP Re-Certification as well as other management considerations.

Status:

Mandatory - Investment Management Level Review - All IT projects (Levels A, B, C and D) must pass this decision checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Investment Management Level Review is performed during the Operations & Maintenance Phase.

Primary Oversight Group:

OIS/SSG has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Chief Information Officer (CIO) or Senior Systems Security Advisor
Component Information System Security Officer (ISSO)
System Owner/Manager
System Maintainer

Inputs:

System Security Plan (SSP)
Signed System Security Plan (SSP) Certification Form

Outputs:

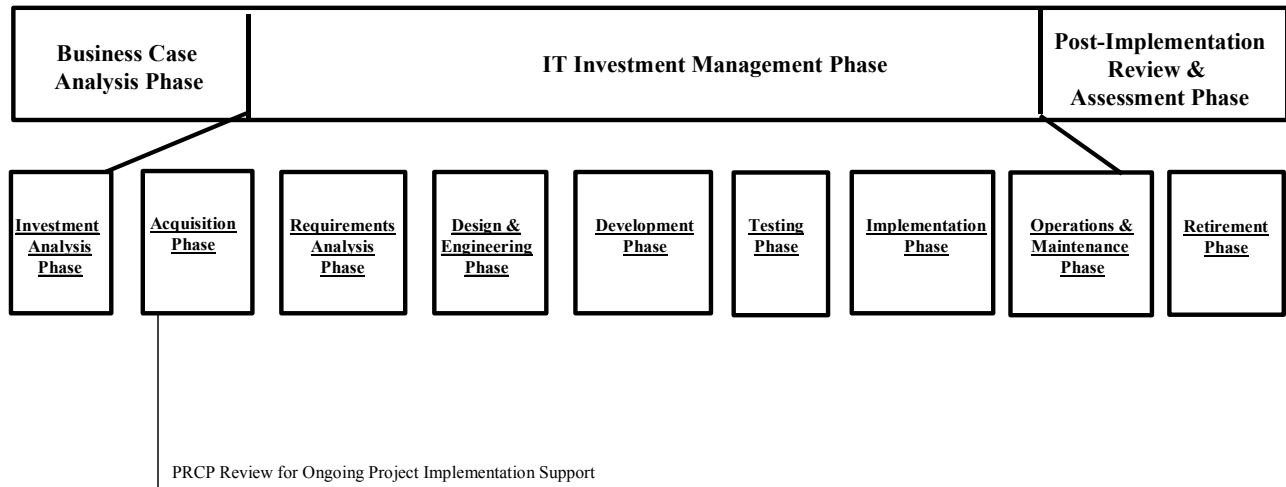
Signed System Security Plan (SSP) Accreditation Form

Predecessor Review:

System Security Plan Re-Certification

CMS Integrated IT Investment Management Roadmap

Mandatory Project Management Level Checkpoints (Reviews)



PRCP Review for Ongoing Project Implementation Support

Summary Description:

After a project officially becomes an investment (i.e., the Financial Management Investment Board (FMIB) approves funding for the project to begin the formal phases of the system development life cycle (SDLC)), the Project Review and Coordination Panel (PRCP) will review the investment for the primary purpose of establishing an Integrated Project Team (IPT) or referral to the Web Support Team (WST) for ongoing implementation support. The Office of Information Services (OIS) / CIO Planning, Management, and Support Group (PMSG) / Division of Investment Support (DIS) assists the Project Owner/Manager in preparing for a summary presentation of the investment to the PRCP. The PRCP reviews the project's IT Fact Sheet and approved Business Case Analysis (BCA) prior to the presentation. As a result of the presentation, the PRCP may establish an IPT or make a referral to the WST for a web-IPT. Once the IPT is established or WST referral is provided, the PRCP has no further involvement in the investment beyond periodic status reporting or information sharing.

Status:

Mandatory - Formal, Project Management Level Review - All funded IT projects (Levels A-D) that have become investments, as well as in-house projects, must pass this review checkpoint before proceeding forward in the system life cycle.

Lifecycle Phase:

This Formal, Project Management Level Review occurs at the beginning of the Acquisition Phase.

Primary Oversight Group

Project Review and Coordination Panel (PRCP) has primary responsibility for ensuring that this review is appropriately performed.

Stakeholders/Participants in Review:

Project Review and Coordination Panel (PRCP)

Project Owner/Manager

OIS/PMSG/DIS

Integrated Project Team (IPT), if one is established as a result of the review

Web Support Team (WST), if a WST referral is provided as a result of the review

All CMS Offices, Centers, and Consortia that have representatives on the PRCP

Inputs:

IT Fact Sheet

Approved Business Case Analysis (BCA)

Outputs:

Email notification sent from the PRCP to the Project Owner/Manager providing information regarding the establishment of an Integrated Project Team (IPT) or Web Support Team (WST) referral, and a meeting report with any identified action items resulting from the review.

Predecessor Review:

FMIB Briefing & Review to Approve Funding to Proceed